



Attorney Docket No.: 7900-0015.30

Applicant: Kondejewski, et al.

Serial No.: 09/603,832

Filing Date June 26, 2000

For: POLYPEPTIDE COMPOSITIONS FORMED USING A COILED-COIL
TEMPLATE AND METHODS OF USE

Small Entity Statement Under
37 CFR \$1.9(f) and \$1.27(c) - Nonprofit Organization

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Governors of the University of Alberta

Address of Organization: 222 Campus Tower, 8625-112 Street
University of Alberta
Edmonton, AB Canada T6G 2E1

- ☒ University or other institution of higher education.
- ☐ Tax exempt under Internal Revenue Service Code (26 USC \$501(a) and \$501(c)(3)).
- ☐ Nonprofit scientific or educational under statute of state of the United States of America.
- ☐ Name of State: ☐ Citation of Statute:
- ☐ Would qualify as tax-exempt under Internal Revenue Service Code (26 USC \$501(a) and \$501(c)(3)) if located in The United States of America.
- ☐ Would qualify as nonprofit scientific or educational non-profit under statute of state of The United States of America if located in The United States of America.
- ☐ Name of State: ☐ Citation of Statute:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9 (e), for purposes of paying reduced fees under 35 U.S.C. \$41 to the U.S. Patent and Trademark Office in connection with the invention described in the above-referenced application. If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR \$1.9 (d) or by any concern which would not qualify as an independent inventor under 37 CFR \$1.9 (c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR \$1.9 (d) or a nonprofit organization under 37 CFR \$1.9 (e).

NOTE: Separate Verified Statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR \$1.27).

Name: _____

Address: _____

- ☐ individual ☐ small business concern ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any

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maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR \$1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this statement is directed.

Name of person signing: _____

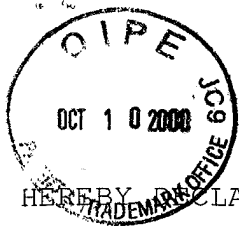
Title of person signing: _____

Address of person signing: _____

Signature: _____

Date: October 3, 2000

LAINE WOOLLARD, B.Sc. (Pharm), LL.B
Barrister and Solicitor, Notary Public
Legal Counsel, Technology Commercialization
INDUSTRY LIAISON OFFICE, U of A



INVENTORSHIP DECLARATION BY JOINT INVENTORS

I HEREBY DECLARE THAT:

My residence, post office address, and citizenship are stated next to my name in PART A on hereof.

I believe I am the original, first, and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled

POLYPEPTIDE COMPOSITIONS FORMED USING A COILED-COIL TEMPLATE AND METHODS OF USE

the specification of which:

- ☐ is attached hereto.
- ☒ was filed on June 26, 2000 as Application Serial No. 09/603,832.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed in PART B hereof and have also identified in PART B on hereof any foreign application for patent or inventor's certificate having a filing date before that of the application of which priority is claimed.

I hereby claim the benefit under Title 35, United States Code §119(e) and §120, of any United States application(s) listed in PART C hereof and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56 which occurred between the filing date of the prior application and any national or PCT international filing date of this application.

I hereby declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Please direct all telephone calls to Judy M. Mohr at (650) 324-0880. Address all correspondence to:

Iota Pi Law Group
P.O. Box 60850
Palo Alto, CA 94306-0850
Customer No. 22918


INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART A: INVENTOR INFORMATION AND SIGNATURE

Full name of FIRST inventor: Leslie H. Kondejewski

Citizenship: Canadian Post Office Address: 2341 Paddock Rue
St. Lazare, Quebec, J7T 2B1 CANADA

Residence (if different): (same)

Inventor's Signature:  Date: Sept 25/00

Full name of SECOND inventor: Randall T. Irvin

Citizenship: Canadian Post Office Address: 9 Chelsea Manor
Sherwood Park, Alberta T8H 1E2 CANADA

Residence (if different): (same)

Inventor's Signature:  Date: Oct. 3/2000

Full name of THIRD inventor: Robert S. Hodges

Citizenship: Canadian Post Office Address: 9929 Saskatchewan Drive
Edmonton, Alberta T6E 5J9 CANADA

Residence (if different): (same)

Inventor's Signature:  Date: Sept 20/00

PART B: CLAIM TO PRIORITY OF FOREIGN APPLICATION(S) UNDER 35 U.S.C. 119(a-d)

Country	App. No.	Filing Date
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PART C: CLAIM TO PRIORITY OF U.S. PROVISIONAL AND NONPROVISIONAL APPLICATION(S) UNDER 35 U.S.C. 119(e) AND 120

Serial No.	Filing Date		Status
<u>60/141,203</u>	<u>06/25/99</u>	<input type="checkbox"/>	Patented
		<input type="checkbox"/>	Pending
		<input checked="" type="checkbox"/>	Abandoned

COPY

OCT 10 2000

PATENTS ONLY

To the Honorable Assistant Commissioner for Patents: Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Leslie H. Kondejewski
Randall T. Irvin
Robert S. Hodges

2. Name/address of receiving party(ies):

The Governors of the University of Alberta

Add'l names of conveying parties attached?

☐ Yes ☒ No

3. Nature of conveyance: ☒ Assignment

☐ Merger ☐ Security Agreement ☐ Other

☐ Change of Name ☐ Reassignment

222 Campus Tower, 8625-112th Street
University of Alberta
Edmonton, AB Canada T6G 2E1

4. Date of execution: 09/25/2000;
10/03/2000; and 09/20/2000

Add'l names of receiving parties attached? ☐ Yes ☒ No

5. Application number(s) and/or patent number(s):

If this document is being filed with a new application, the date of signature by the first named inventor was: _____.

A. Patent Application No.(s)

09/603,832 filed 26 June 2000

B. Patent No.(s)

Additional numbers attached: ☐ Yes ☒ No

6. Name and address of party to whom correspondence concerning document should be mailed:

Iota Pi Law Group
P.O. Box 60850
Palo Alto, CA 94306
(650) 324-0880

7. Total No. of applications and patents involved:
one (1)

8. Total fee (37 CFR \$3.41): \$40.00
☒ Check Enclosed

9. Total number of pages, including cover sheet, attachments and document: 5

DO NOT USE THIS SPACE

10. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Gregory L. Heinkel
Name of Person Signing

Signature

Date

Oct 4, 2000